



#3

SECTOR

PATENT - Attorney Docket No. 112634.120

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Peter Malcolm

Serial No.: 09/923,704

Examiner:

Filed: August 7, 2001

Group Art Unit:

For: An Information Management System

Box Missing Parts

Commissioner for Patents

Washington, D.C. 20231

## CERTIFICATE OF MAILING UNDER 37 C.F.R. 1.8(a)

I hereby certify that this correspondence and any enclosures referenced herein are being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Box Missing Parts, Commissioner for Patents, Washington D.C. 20231.

NOV 07 2001

Date

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION  
(FILING DATE GRANTED)**RESPONSE TO NOTICE OF MISSING PARTS OF APPLICATION**

In response to the Notice to File Missing Parts of Application (Filing Date Granted) mailed September 28, 2001 enclosed for filing in the above-identified patent application are the following documents:

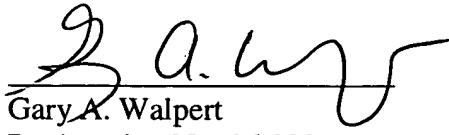
1. Executed Declaration and Power of Attorney;
2. Fee Transmittal Form;
3. Transmittal Form;
4. Copy of Notice to file Missing Parts of Nonprovisional Application;
5. Notice to correct Priority Document Number and Change Attorney Number.
6. Specification
7. Self-addressed, postage prepaid postcard. Please date stamp the postcard indicating timely receipt by the Patent Office of the subject documents, and return it to us for our files.

The Commissioner is hereby authorized to charge **\$65** to Deposit Account No. 08-0219 for the appropriate surcharge for late filing of the fee and oath for a small entity.

Attorney Docket No. 112634-120

Please charge any fee deficiency or credit any overpayment in connection with this matter to Deposit Account No. 08-0219.

Respectfully submitted,

  
\_\_\_\_\_  
Gary A. Walpert  
Registration No. 26,098  
Attorney for Applicant

Dated: November 7, 2001

Hale and Dorr LLP  
60 State Street  
Boston, Massachusetts 02109  
(617) 526-6000 (Telephone)  
(617) 526-5000 (Facsimile)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE #4



In re Application of: Peter Malcolm  
Appl. No.: 09/923,704  
Filed: August 7, 2001  
For: **AN INFORMATION  
MANAGEMENT SYSTEM**

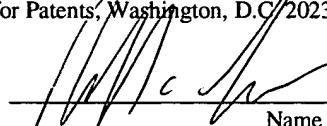
Art Unit: Not Yet Assigned  
Examiner: Not Yet Assigned

---

**CERTIFICATE OF MAILING UNDER 37 CFR 1.8(a)**

I hereby certify that this correspondence is being deposited with the United States Postal Service First Class Mail in an envelope addressed to Commissioner for Patents, Washington, D.C. 20231, Box Assignments.

NOV 07 2001  
Date

  
\_\_\_\_\_  
Name

---

**NOTICE TO CORRECT PRIORITY DOCUMENT NUMBER AND CHANGE  
ATTORNEY DOCKET NUMBER**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

In reviewing the originally filed declaration, it had been noted that the Priority Document application number was incorrectly stated on the unsigned declaration. It has been corrected in the new declaration and should be UK Application No. 0027280.7. Please correct the Patent Office records accordingly.

Please also change the Attorney's docket number in this case to 112634.120.

PATENTS  
Attorney Docket No. 112634.120

If there are any payments due or credits owed, please make them to our Deposit Account  
No. 08-0219.

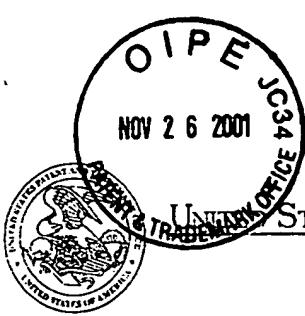
Respectfully submitted,

Date: 11/7/01



Gary A. Walpert  
Reg. No. 26,098

Hale and Dorr LLP  
60 State Street  
Boston, MA  
Tel. (617) 526-6000  
Fax (617) 526-5000



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/923,704	08/07/2001	Peter Malcolm	00968-016

28089  
HALE AND DORR LLP  
300 PARK AVENUE  
NEW YORK, NY 10022

## CONFIRMATION NO. 2337

## FORMALITIES LETTER



\*OC000000006806340\*

Date Mailed: 09/28/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

*A copy of this notice **MUST** be returned with the reply.*

*Beth T. Bush*  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202  
PART 1 - ATTORNEY/APPLICANT COPY

HALE AND DORR LLP  
OCT 01 2001

DOCKET DEPT.  
INTELLECTUAL PROPERTY  
DEPARTMENT

11/28/2001 BABRAKA1 00000085 080219 09923704  
01 FC:205 65.00 CH

HALE & DORR DOCKETING  
RE: 112634-1204S  
Action Date: 11/28/01 - MISSING PARTS  
Action to be Taken: Due Date  
Docketed by GSY On: 11/2/01



Please type a plus sign (+) inside this box →

PTO/SB/21 (6-98)  
Approved for use through 09/30/2000. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number	09/923,704
Filing Date	August 7, 2001
First Named Inventor	Perter Malcolm
Group Art Unit	
Examiner Name	
Attorney Docket Number	112634-120

## ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Additional Enclosure(s) (please identify below)
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Postcard
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	
<input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application	<input type="checkbox"/> Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Gary A. Walpert (Reg. no. 26,098)
Signature	
Date	November 7, 2001

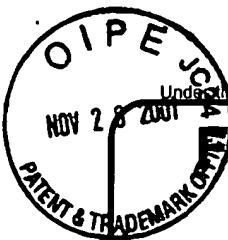
## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date:

Typed or printed name	Michael Leccese
Signature	<input type="text"/>
Date	November , 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be send to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.



# EE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 65.00)

## Complete if Known

Application Number	09/923,704
Filing Date	August 7, 2001
First Named Inventor	Peter Malcolm
Examiner Name	
Group Art Unit	
Attorney Docket No.	112634-120

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **08-0219**  
Deposit Account Name **Hale and Dorr LLP**

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
 Applicant claims small entity status. See 37 CFR 1.27

2.  Payment Enclosed:

Check  Credit card  Money Order  Other

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee (\$)	Fee Description	Fee Paid
105	130	205	65 Surcharge - late filing fee or oath	\$65.00
127	50	227	25 Surcharge - late provisional filing fee or cover sheet	
139	130	139	130 Non-English specification	
147	2,520	147	2,520 For filing a request for ex parte reexamination	
112	920*	112	920* Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840* Requesting publication of SIR after Examiner action	
115	110	215	55 Extension for reply within first month	
116	390	216	195 Extension for reply within second month	
117	890	217	445 Extension for reply within third month	
118	1,390	218	695 Extension for reply within fourth month	
128	1,890	228	945 Extension for reply within fifth month	
119	310	219	155 Notice of Appeal	
120	310	220	155 Filing a brief in support of an appeal	
121	270	221	135 Request for oral hearing	
138	1,510	138	1,510 Petition to institute a public use proceeding	
140	110	240	55 Petition to revive - unavoidable	
141	1,240	241	620 Petition to revive - unintentional	
142	1,240	242	620 Utility issue fee (or reissue)	
143	440	243	220 Design issue fee	
144	600	244	300 Plant issue fee	
122	130	122	130 Petitions to the Commissioner	
123	50	123	50 Processing fee under 37 CFR 1.17(q)	
126	180	126	180 Submission of Information Disclosure Stmt	
581	40	581	40 Recording each patent assignment per property (times number of properties)	
146	710	246	355 Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355 For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355 Request for Continued Examination (RCE)	
169	900	169	900 Request for expedited examination of a design application	
Other fee (specify) _____				
*Reduced by Basic Filing Fee Paid				<b>SUBTOTAL (3) (\$ 65.00)</b>

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103	18	203
102	80	202
104	270	204
109	80	209
110	18	210
Claims in excess of 20		
Independent claims in excess of 3		
Multiple dependent claim, if not paid		
** Reissue independent claims over original patent		
** Reissue claims in excess of 20 and over original patent		
<b>SUBTOTAL (2) (\$)</b>		

\*\*or number previously paid, if greater; For Reissues, see above

\*Reduced by Basic Filing Fee Paid **SUBTOTAL (3) (\$ 65.00)**

SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Gary A. Walpert	Registration No. (Attorney/Agent)	26,098
Signature		Telephone	617-526-6000
		Date	

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.